

# UTILITY PATENT APPLICATION TRANSMITTAL

(only for new nonprovisional applications under 37 CFR 1.53(b))

|                        |   |
|------------------------|---|
| Attorney Docket No.    | SP036.C10   |
| First Inventor         | SENER BRASHEARS et al.  |
| Title                  | System And Method For Handling Load And/Or Store Operations In A Superscalar Microprocessor |
| Express Mail Label No. |   |

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

## ADDRESS TO:

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria VA 22313-1450

- ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
- ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
- ☒ Specification [Total Pages 37]  
(preferred arrangement set forth below)
  - Descriptive title of the Invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
- ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 14]
- Oath or Declaration [Total Pages 5]
  - ☐ Newly executed (original or copy)
  - ☒ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
    - ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
- ☒ Application Data Sheet. See 37 CFR 1.76.

- ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
- Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - ☐ Computer Readable Form (CRF)
  - Specification Sequence Listing on:
    - ☐ CD-ROM or CD-R (2 copies); or
    - ☐ paper
  - ☐ Statements verifying identity of above copies

17510 U.S. PTO  
10/713145

## ACCOMPANYING APPLICATION PARTS

- ☐ Assignment Papers (cover sheet & document(s))
- ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
- ☐ English Translation Document (if applicable)
- ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of 3 newly cited IDS Citations
- ☒ Preliminary Amendment
- ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
- ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
- ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
- ☒ Other: Authorization under 37 C.F.R. § 1.136(a)(3)
- ☒ Other: The name of the assignee is: Seiko Epson Corporation

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-Part (CIP) of prior application No: 09/336,589  
Prior application information: Examiner Daniel H. Pan Art Unit: 2183

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☒ Customer Number 26111

or ☐ Correspondence address below

|         |   |           |  |          |  |
|---------|---|-----------|--|----------|--|
| NAME    | STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C. |           |  |          |  |
|         | Attorneys at Law                          |           |  |          |  |
| ADDRESS |   |           |  |          |  |
| CITY    |   | STATE     |  | ZIP CODE |  |
| COUNTRY |   | TELEPHONE |  | FAX      |  |

|                   |                        |                                   |                 |
|-------------------|------------------------|-----------------------------------|-----------------|
| NAME (Print/Type) | Thomas C. Fiala        | Registration No. (Attorney/Agent) | 43,610          |
| SIGNATURE         | <i>Thomas C. Fiala</i> | Date                              | <u>11/17/03</u> |

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you are required to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

## Complete if Known

|                      |                          |
|----------------------|--------------------------|
| Application Number   | To Be Assigned           |
| Filing Date          | H r with                 |
| First Named Inventor | SENER BRASHEARS et al.   |
| Examiner Name        | T Be Assigned            |
| Art Unit             | To B Assigned            |
| Attorney Docket No.  | SP036.C10 (1397.012000A) |

Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$928.00

## METHOD OF PAYMENT (check all that apply)

☐ Check ☒ Credit card ☐ Money Order ☒ Other\*\* ☐ None  
\*\* Charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No. 19-0036.

☐ Deposit Account  
Deposit Account Number 19-0036  
Deposit Account Name: Sterne, Kessler, Goldstein & Fox P.L.L.C.

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Credit any over payments  
☐ Charge any additional fee(s) during the pendency of this application  
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Small Entity

| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description        | Fee Paid |
|----------|----------|----------|----------|------------------------|----------|
| 1001     | 770      | 2001     | 385      | Utility filing fee     | \$770.00 |
| 1002     | 340      | 2002     | 170      | Design filing fee      |          |
| 1003     | 530      | 2003     | 265      | Plant filing fee       |          |
| 1004     | 770      | 2004     | 385      | Reissue filing fee     |          |
| 1105     | 160      | 2005     | 80       | Provisional filing fee |          |

SUBTOTAL (1) (\$) 770.00

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

|  | Extra | Fee from below | Fee Paid         |
|--|-------|----------------|------------------|
| Total Claims <u>24</u> - 20** = <u>4</u> | X     | <u>\$18.00</u> | = <u>\$72.00</u> |
| Indep. Claims <u>4</u> - 3** = <u>1</u>  | X     | <u>\$86.00</u> | = <u>\$86.00</u> |
| Multiple Dependent                       |       |                | =                |

Large Entity Small Entity

| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description   |
|----------|----------|----------|----------|---|
| 1202     | 18       | 2202     | 9        | Claims in excess of 20                                    |
| 1201     | 86       | 2201     | 43       | Independent claims in excess of 3                         |
| 1203     | 290      | 2203     | 145      | Multiple dependent claim, if not paid                     |
| 1204     | 86       | 2204     | 43       | **Reissue independent claims over original patent         |
| 1205     | 18       | 2205     | 9        | **Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$) 158.00

\*\*or number previously paid, if greater; For Reissue, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Small Entity

| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description  | Fee Paid |
|----------|----------|----------|----------|--|----------|
| 1051     | 130      | 2051     | 65       | Surcharge - late filing fee or oath  |          |
| 1502     | 50       | 2052     | 25       | Surcharge-late provisional filing fee or cover sheet                       |          |
| 1053     | 130      | 1053     | 130      | Non-English specification  |          |
| 1812     | 2,520    | 1812     | 2,520    | For filing a request for ex parte reexamination                            |          |
| 1804     | 920*     | 1804     | 920*     | Requesting publication of SIR prior to Examiner action                     |          |
| 1805     | 1,840*   | 1805     | 1,840*   | Requesting publication of SIR after Examiner action                        |          |
| 1251     | 110      | 2251     | 55       | Extension for reply within first month                                     |          |
| 1252     | 420      | 2252     | 210      | Extension for reply within second month                                    |          |
| 1253     | 950      | 2253     | 475      | Extension for reply within third month                                     |          |
| 1254     | 1,480    | 2254     | 740      | Extension for reply within fourth month                                    |          |
| 1255     | 2,010    | 2255     | 1,005    | Extension for reply within fifth month                                     |          |
| 1401     | 330      | 2401     | 165      | Notice of Appeal   |          |
| 1402     | 330      | 2402     | 165      | Filing a brief in support of an appeal                                     |          |
| 1403     | 290      | 2403     | 145      | Request for oral hearing   |          |
| 1451     | 1,510    | 1451     | 1,510    | Petition to institute a public use proceeding                              |          |
| 1452     | 110      | 2452     | 55       | Petition to revive - unavoidable   |          |
| 1453     | 1,330    | 2453     | 665      | Petition to revive - unintentional   |          |
| 1501     | 1,330    | 2501     | 665      | Utility issue fee (or reissue)   |          |
| 1502     | 480      | 2502     | 240      | Design issue fee   |          |
| 1503     | 640      | 2503     | 320      | Plant issue fee  |          |
| 1460     | 130      | 1460     | 130      | Petitions to the Commissioner  |          |
| 1807     | 50       | 1807     | 50       | Processing fee under 37 CFR 1.17(q)  |          |
| 1806     | 180      | 1806     | 180      | Submission of Information Disclosure Stmt                                  |          |
| 8021     | 40       | 8021     | 40       | Recording each patent assignment per property (times number of properties) |          |
| 1809     | 770      | 2809     | 385      | Filing a submission after final rejection (37 CFR 1.129(a))                |          |
| 1810     | 770      | 2810     | 385      | For each additional invention to be examined (37 CFR 1.129(b))             |          |
| 1801     | 770      | 2801     | 385      | Request for Continued Examination (RCE)                                    |          |
| 1802     | 900      | 1802     | 900      | Request for expedited examination of a design application                  |          |

Other fee (specify) \_\_\_\_\_

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) \_\_\_\_\_

## SUBMITTED BY

|                   |                 |                                   |          |           |              |
|-------------------|-----------------|-----------------------------------|----------|-----------|--------------|
| Name (Print/Type) | Thomas C. Fiala | Registration No. (Attorney/Agent) | 43,610   | Telephone | 202-371-2600 |
| Signature         |                 | Date                              | 11/17/03 |           |              |

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Victoria S. Rutherford  
Eric D. Hayes

**Of Counsel**  
Kenneth C. Bass III  
Evan R. Smith

\*Admitted only in Maryland  
\*Admitted only in Virginia  
•Practice Limited to  
Federal Agencies

November 17, 2003

**WRITER'S DIRECT NUMBER:**

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**INTERNET ADDRESS:**

TFIALA@SKGF.COM

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

**Mail Stop Patent Application**

Re: U.S. Non-Provisional Utility Patent Application under 37 C.F.R. § 1.53(b)  
Appl. No. *To Be Assigned* ; Filed: Herewith  
(Continuation of Appl. No. 09/336,589; Filed: June 21, 1999)  
For: **System And Method For Handling Load And/Or Store Operations In  
A Superscalar Microprocessor**  
Inventor(s): SENTER BRASHEARS et al.  
Our Ref: SP036.C10

Sir:

The following documents are forwarded herewith for appropriate action by the U.S.  
Patent and Trademark Office:

1. PTO Fee Transmittal (Form PTO/SB/17);
2. PTO Utility Patent Application Transmittal (Form PTO/SB/05);
3. U.S. Utility Patent Application entitled:

**System And Method For Handling Load And/Or Store Operations In A  
Superscalar Microprocessor**

and naming as inventor(s):

Cheryl SENTER BRASHEARS  
Johannes WANG  
Le Trong NGUYEN  
Derek J. LENTZ

Yoshiyuki MIYAYAMA  
Sanjiv GARG  
Yasuaki HAGIWARA  
Te-Li LAU  
Sze-Shun WANG  
Quang H. TRANG

the application consisting of:

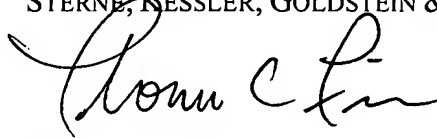
- a. An Application Data Sheet (37 C.F.R. § 1.76);
- b. A copy of the executed Declaration, as originally filed in U.S. Appl. No. 09/336,589
- c. A specification containing:
  - i. 32 pages of description prior to the claims;
  - ii. 4 pages of claims ( 22 claims);
  - iii. a one (1) page abstract;
- d. 14 sheets of drawings: (Figures 1-6, 7A, 7B, 7C, 7D, 7E, 7F, 7G, 7H );
4. Authorization to Treat a Reply As Incorporating An Extension of Time Under 37 C.F.R. § 1.136(a)(3);
5. A Preliminary Amendment;
6. A copy of Decision Granting Petitions Under § 1.48(c) and § 1.183 dated November 5, 2002, issued in application 09/336,589;
7. An Information Disclosure Statement (IDS);
8. Form PTO-1449 (21 pages) along with copies of THREE (3) newly cited references; and
9. Two (2) return postcards; and
10. Form PTO-2038 Credit Card Payment Form for \$928.00 to cover:  
    \$ 770.00 Filing fee for patent application; and  
    \$158.00 Fee for excess claims.

Commissioner for Patents  
November 17, 2003  
Page 3

It is respectfully requested that, of the two attached postcards, one be stamped with the filing date of these documents and returned to our courier, and the other, prepaid postcard, be stamped with the filing date and unofficial application number and returned as soon as possible. The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

A handwritten signature in black ink, appearing to read "Thomas C. Fiala", written in a cursive style.

Thomas C. Fiala  
Attorney for Applicants  
Registration No. 43,610

TCF/mjg  
Enclosures  
SKGF\_DC1:199260.1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

SETER BRASHEARS et al.

Appl. No. To Be Assigned

Filed: Herewith

For: **System And Method For Handling  
Load And/Or Store Operations In  
A Superscalar Microprocessor**

Confirmation No. To Be Assigned

Art Unit: To Be Assigned

Examiner: To Be Assigned

Atty. Docket: SP036.C10 (1397.012000A)

**Authorization To Treat A Reply As Incorporating An Extension Of  
Time Under 37 C.F.R. § 1.136(a)(3)**

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Sir:

The U.S. Patent and Trademark Office is hereby authorized to treat any concurrent or future reply that requires a petition for an extension of time under this paragraph for its timely submission, as incorporating a petition for extension of time for the appropriate length of time. The U.S. Patent and Trademark Office is hereby authorized to charge all required extension of time fees to our Deposit Account No. 19-0036, if such fees are not otherwise provided for in such reply.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Thomas C. Fiala  
AttorneyApplicant  
Registration No. 43,610

Date: 11/17/03  
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Washington, D.C. 20005-3934  
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